



Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

03CO  
X  
8

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/880,733
	<b>Filing Date</b>	June 12, 2001
	<b>First Named Inventor</b>	Tasao Soga
	<b>Group Art Unit</b>	Unassigned
	<b>Examiner Name</b>	Unassigned
<b>Total Number of Pages in This Submission</b>	<b>Attorney Docket Number</b>	16869S-027500US

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  7 cited references, PTO forms SB08A (1 page), Return Postcard.
<b>Remarks</b>		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm and Individual name	Townsend and Townsend and Crew LLP Robert C. Colwell	Reg. No. 27,431
Signature		
Date	6/6/02	

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <u>JUNE 11, 2002</u>		
Typed or printed name	Roger Hylton	
Signature		Date 6/11/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. PA 3227527 v1



PATENT  
Attorney Docket No.: 16869S-027500US  
Client Reference No.: E6037-01 MP

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Tasao Soga, et al.

Application No.: 09/880,733

Filed: June 12, 2001

For: ELECTRONIC DEVICE

Examiner: Unassigned

Art Unit: Unassigned

SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR §1.97 and §1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The references cited on attached form PTO/SB/08A are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

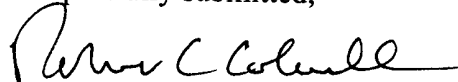
Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-

Tasao Soga, et al.  
Application No.: 09/880,733  
Page 2

PATENT

1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Robert C. Colwell  
Reg. No. 27,431

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 650-326-2400  
Fax: 650-326-2422  
RCC:rmh

PA 3217953 v1

#8

### Notification of Reasons for Refusal

Patent Application Number: JP 2001-233962  
Drafting Date : February 3, 2003  
Examiner of JPO : Sakamoto Kuniaki Serial Number 92654R00  
Agent / Applicant : Mr. Miyai Teruo  
Applied Provisions : Patent Law 29(2) and 37

The subject application should be rejected for the reasons described below. If the applicant has argument against any of the reasons, he will be invited to submit such argument within 60 days from the mailing date of this Notification.

#### Reasons

1. As described below the inventions of the claims of the subject application should not be allowed as a patent under the provision of Patent Law Section 29(2) since it could have been easily made by persons having an ordinary knowledge in the technical field to which the inventions pertain, on the basis of the publications listed below which were distributed in this country or foreign countries prior to the filing of the subject application.

(Note: refer to the list of the cited references)

Regarding claims 1 and 3 prior art documents 1~3 (D1~D3) are referred.

Remarks:

D1 describes a semiconductor substrate having a via hole passing through opposing surfaces. A slanted region configured on a surface of a semiconductor substrate is described in D2. Further a semiconductor substrate having an electrically conductive circuit pattern is found in D3 respectively.

2. The subject application does not comply with the requirements under Patent Law Section 37 in respect to the followings:

2.1 The invention of product as defined in claim 1 does not appear to be identical to any of those as defined in claims 9~13 in respect to either the problem(s) to be solved or primary portion(s) of essential constituent feature(s).

2.2 The invention of product defined in claim 1 does not seem to be any of a machine, an implement, an apparatus and the like which could be used directly for carrying out the methods as defined in the inventions of claims 25~33.

Further it appears that the methods defined in claims 25~33 are not those for producing, using or processing the product as defined in claim 1.

Since the present application violates Section 37 of the Patent Law. Therefore, the examination is not being carried out in respect to compliance with the requirements under Sections other than Section 37 with regard to the claims except claims

1~8 and claims 14~24

For the claims other than those specified in the Notification of Refusal, no reason for refusal has been found upto the present. If any further reason(s) for refusal is found, it will be notified.

List of Cited References

1. JP 8-264712 A (D1)
2. International Patent Publication No. 99/10925 (D2)
3. JP 5-075014 A (D3)

Record of the Results of Prior Art Reference Search

Technical Field of Search IPC<sup>7</sup>

H01L 23/50

H01L 23/52

H01L 25/08

The above record of the Prior Art Reference Search shall not constitute the reason for refusal of the subject application.

Any inquiry concerning this Notification should be directed to Examiner Sakamoto Kuniaki at Electronic Components Processing Division, 3rd Patent Examination Department. He may be reached at Ext. 6362 by phone (03)3581-1101.

## 拒絶理由通知書

特許出願の番号	特願2001-233962
起案日	平成15年 2月 3日
特許庁審査官	坂本 薫昭 9265 4R00
特許出願人代理人	宮井 暎夫 様
適用条文	第29条第2項、第37条

この出願は、次の理由によって拒絶をすべきものである。これについて意見があれば、この通知書の発送の日から60日以内に意見書を提出して下さい。

## 理 由

1. この出願の下記の請求項に係る発明は、その出願前日本国内又は外国において頒布された下記の刊行物に記載された発明に基いて、その出願前にその発明の属する技術の分野における通常の知識を有する者が容易に発明をすることができたものであるから、特許法第29条第2項の規定により特許を受けることができない。

記 (引用文献等については引用文献等一覧参照)

- ・請求項 1, 3
- ・引用文献等 1-3
- ・備考

半導体基板に貫通孔を設けたものは引用例1に、斜面を設けたものは引用例2に、導電パターンを設けたものは引用例3に、それぞれ記載されている。

2. この出願は、下記の点で特許法第37条に規定する要件を満たしていない。

## 記

(1) 請求項1に係る物の発明と、請求項9-13に係る物の発明とは解決しようとする課題が同一であるとも、構成に欠くことができない事項の主要部が同一であるとも認められない。

(2) 請求項1に係る物の発明は、請求項25-33に係る方法の発明の実施に直接使用する機械、器具、装置その他の物とは認められない。

また、請求項25-33に係る方法の発明は、請求項1に係る物の発明に対して、その物を生産する方法、使用する方法、取り扱う方法であるとは認められない。

この出願は特許法第37条の規定に違反しているので、請求項1-8, 14-24以外の請求項に係る発明については同法第37条以外の要件についての審査を行っていない。

この拒絶理由通知書中で指摘した請求項以外の請求項に係る発明については、現時点では、拒絶の理由を発見しない。拒絶の理由が新たに発見された場合には拒絶の理由が通知される。

# 引用文献等一覧

1. 特開平8-264712号公報
2. 国際公開第99/10925号パンフレット
3. 特開平5-75014号公報

---

## 先行技術文献調査結果の記録

・調査した技術分野 I P C第7版

H01L 23/50

H01L 23/52

H01L 25/08

この先行技術文献調査の記録は、拒絶理由を構成するものではない。

この拒絶理由通知書の内容に関する問い合わせ先

特許審査第三部 電子素材加工 審査官 坂本薫昭

電話 03-3581-1101 内線 6362